

**Schedule 150-3-2**

**DEPARTMENT OF  
HEALTH AND HUMAN  
SERVICES**

**DIVISION OF OPERATIONS  
FINANCIAL SERVICES**

**AUGUST 13, 2007**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

SCHEDULE

**150-3-2**

AGENCY, BOARD OR COMMISSION

**Department of Health and Human Services**

DIVISION, BUREAU OR OTHER UNIT

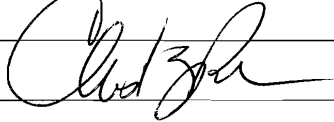
**Division of Operations-Financial Services**

**Supersedes 35-1-1 edition June 27, 1994;  
40-1-1 edition October 26, 1992 40-1-6-3 edition  
May 1, 1990; 40-1-7-1-27 edition May 1, 1990;  
40-1-2-39 edition May 1, 1990.**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

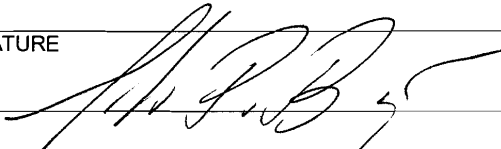
DATE

8/3/07

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



STATE ARCHIVES

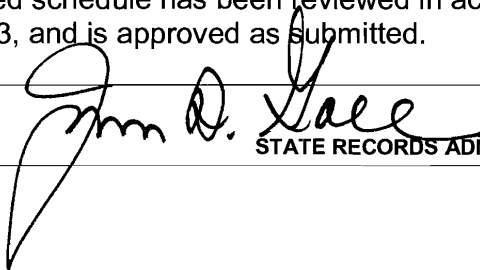
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8/10/07

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



STATE RECORDS ADMINISTRATOR

DATE

8/13/07

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your to your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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**Department of Health and Human Services – Division of Operations- Financial Services**

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## **SCHEDULE 150-3-2 – DEPARTMENT OF HEALTH AND HUMAN SERVICES – DIVISION OF OPERATIONS - FINANCIAL SERVICES**

### **150-3-2-1            ACCOUNTING**

#### **00000000150-3-2-1-1            ACCOUNTING MASTER FILE DETAIL LISTING**

Monthly NIS computer report showing the projected budget for each quarter by service area (laundry, x-ray, food service, etc.)

**ORIGINAL RECORD:** Dispose of first fiscal year report and subsequent quarterly reports after 1 year.

**MONTHLY REPORTS:** Dispose of when no longer of reference value.

#### **150-3-2-1-2            ACCOUNTING MASTER FILE TRANSACTION**

Monthly NIS input form used in setting up the master file. Includes budget by quarter, program and service area.

**ORIGINAL RECORD:** Dispose of after verification of entry into financial system.

#### **150-3-2-1-3            BATCH PROOF LISTING**

Monthly NIS report is an edit listing on current batches to be updated to the master file.

**ORIGINAL RECORD:** Dispose of after 1 year.

#### **150-3-2-1-4            CANTEEN/AMUSEMENT FUND REPORT**

Quarterly financial report of canteen operation and trust fund activities (6800).

**ORIGINAL RECORD:** Dispose of after 2 year, provided audit has been completed.<sup>1</sup>

#### **150-3-2-1-5            STATEMENT OF FUNDS REPORT**

Record of revenue expenditures and fund balance available.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

#### **150-3-2-1-6            COUPON LOG BOOK**

Record of coupons issued to facility residents in lieu of money for canteen purchases.

**ORIGINAL RECORD:** Dispose of after 1 year, following the end of fiscal year, to which the record pertains, provided audit has been completed.<sup>1</sup>

#### **150-3-2-1-7            DONATIONS LIST AND RELATED RECORDS**

Listing of donations including donor, date, item, amount, and purchase records.

**ORIGINAL RECORD:** Dispose of after 5 years, provided audit has been completed and after donation has been expended, whichever is later.<sup>1</sup>

#### **150-3-2-1-8            EMERGENCY CASH FUND RECONCILIATION**

Monthly reconciliation of Emergency Fund warrants and Bank Account.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

#### **150.3.2.1.9            INSTITUTION CASH RECONCILIATION (OBSOLETE 2005)**

Monthly report reconciling cash receipts with NAS records.

**ORIGINAL RECORD:** Dispose of after 1 year, following the end of fiscal year, to which the record pertains, provided audit has been completed.<sup>1</sup>

**150-3-2-1-10 JOURNAL ENTRIES (OBSOLETE 2005)**

Computer input form used to change incorrect information in the computer system.

**ORIGINAL RECORD:** Dispose of after 2 years, provided Medicaid/Medicare cost report has been completed.<sup>1</sup>

**150-3-2-1-11 LEDGER AND WORKSHEETS (OBSOLETE 2005)**

Worksheets used to balance different accounts.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

**150-3-2-1-12 MATERIAL AND SUPPLIES REQUISITION**

NIS input form which shows the amount of supplies allocated to a ward from the general inventory.

**ORIGINAL RECORD:** Dispose of after 2 years, provided audit has been completed.<sup>1</sup>

**150-3-2-1-13 MATERIAL AND SUPPLY SUMMARY**

Monthly storeroom material and supply inventory form and request for inventory adjustment for overages and shortages.

**ORIGINAL RECORD:** Dispose of after 2 year, provided audit has been completed.<sup>1</sup>

**150-3-2-1-14 PATIENT CANTEEN PURCHASE AUTHORIZATION**

Written authorization, including ledger, for food purchased at canteen by patient.

**ORIGINAL RECORD:** Dispose of after 1 year, provided audit has been completed.<sup>1</sup>

**150-3-2-1-15 PHARMACY REQUISITION (OBSOLETE 2005)**

Computer input form showing drugs and medicine requisitioned by a ward.

**ORIGINAL RECORD:** Dispose of after 2 years, provided Medicaid/Medicare audit has been completed.<sup>1</sup>

**150-3-2-1-16 PROGRAM UNITS REPORT (OBSOLETE 2005)**

Form used to input the number of days each patient spent in a ward into the computer system.

**ORIGINAL RECORD:** Immediately dispose of obsolete record.

**150-3-2-1-17 PROJECT REPORTING (OBSOLETE 2005)**

Monthly computer report lists month-to-date and year-to-date expenditures for costs that cannot be included in patient per diem rate.

**ORIGINAL RECORD:** Dispose of after 2 years, provided audits by the State, BC/BS, Medicare, and Medicaid, has been completed.<sup>1</sup>

**150-3-2-1-18 REPORT OF INSTITUTIONS PAYROLL (OBSOLETE 2005)**

Bi-monthly computer report provides a detailed breakdown of the payroll voucher by subprogram and individual and is used as a budgeting and accounting tool.

**ORIGINAL RECORD:** Immediately dispose of obsolete record, provided audit has been completed.<sup>1</sup>

**150-3-2-1-19 REQUEST FOR SUPPLIES**

Internal facility form used to requisition supplies from facility supply center.

**ORIGINAL RECORD:** Dispose of after 1 year.

**150-3-2-1-20 RESPONSIBILITY REPORTING (OBSOLETE 2005)**

Monthly computer report lists actual monthly and year-to-date expenditures and variances from planned expenditures that are included in the patient per diem rate.

**ORIGINAL RECORD:** Dispose of after 2 years, provided audits by the State, BC/BS, Medicare, and Medicaid, has been completed.<sup>1</sup>

**150-3-2-1-21            RESPONSIBILITY REPORTING – STATISTICAL  
(OBSOLETE 2005)**

Monthly computer report lists cost per service unit for each service area (cost per meal, cost per pound of laundry cleaned, etc).

**FACILITY:** Dispose of after 2 years, provided audits by the State, BC/BS, Medicare, and Medicaid, has been completed.<sup>1</sup>

**150-3-2-1-22            SERVICE RENDERED REPORT  
(OBSOLETE 2004)**

Form used to input such service information as the number of meals served, pounds of clothes laundered, number of x-rays taken, etc.

**Immediately dispose of obsolete record.**

**150-3-2-1-23            TIMESHEETS AND INPUT RECORDS FOR PATIENT  
PAYROLL SYSTEMS**

All information used in recording patient's work time and pay determinations.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

**150-3-2-1-24            TRIAL BALANCE SHEETS**

Composite entry of charge invoices.

**ORIGINAL RECORD:** Dispose of after 2 years, provided audit has been completed.<sup>1</sup>

**150.3.2.1.25            VA FORM 10-5588 AUDITING REPORTS AND STATEMENT  
OF EXPENDITURES**

Report of Federal Aid claimed.

**ORIGINAL RECORD:** Dispose of 3 years after VA audit has been completed.<sup>1</sup>

**150-3-2-1-26            VETERANS HOMES BARBER/BEAUTY SHOP CHARGES**

Charges made by patients for barber and beauty shop services.

**ORIGINAL RECORD:** Dispose of 5 years after death or discharge of patient, provided audit has been completed.<sup>1</sup>

**150-3-2-1-27            VETERANS HOMES CANTEEN CHARGES**

Charges made by patients for canteen purchases.

**ORIGINAL RECORD:** Dispose of 5 years after death or discharge of patient provided audit has been completed.<sup>1</sup>

**150.3.2.1.28            CLAIMS FOR REIMBURSEMENT OF ADMINISTRATIVE COSTS  
(Form FA-12) (OBSOLETE 2005)**

Administration costs paid from county funds.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

**150-3-2-1-29            MONTHLY REPORT OF EMERGENCY ASSISTANCE  
EXPENDITURES (Form RS-44) (OBSOLETE 2005)**

Report completed by counties or projects. Shows warrants issued, to whom, the case number, etc.

**ORIGINAL RECORD:** Dispose of after 3 years, provided audit has been completed.<sup>1</sup>

**150-3-2-1-30            INTERIM ASSISTANCE REIMBURSEMENT PROGRAM CASES**

Notice of SSI initial payment and document of distribution.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-1-31 MAINTENANCE ASSISTANCE CANCELLATION/REFUND  
TRANSMITTAL (FORM FA-62)**

Completed by the local office to transmit warrants for cancellation or refund collected from clients when payment was in error.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-1-32 REPORT OF VENDOR HOME REPAIRS (FORM FA-10)**

Report of clients who have been authorized to have home repairs done up to \$500.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-1-33 WARRANT INFORMATION REQUEST (FA-29)**

Form used to determine status of state warrant.

**ORIGINAL RECORD: Dispose of after 2 years.**

**150-3-2-1-34 CLAIMANTS FORGERY AFFIDAVIT ON FORGERY LOSS**

Individual's affidavit of forgery on lost check. May also be supplementary statement.

**ORIGINAL RECORD: Dispose of after 3 years.**

**150-3-2-1-35 WARRANT WRITER SYSTEM DOCUMENTATION**

Supporting documentation, such as claims and invoices for payment for the following programs: MHCP, Disabled Person & Family Support, Adult Protective Services, Respite Care Program, Health Insurance Premium Payment, Employment First (Jobs), Foster Care, Medicaid Waiver Programs, Early Intervention Programs.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-1-36 N-FOCUS DOCUMENTATION**

Voucher documentation of N-Focus claims paid.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150.3.2.1.37 STATE WARD TRUST DOCUMENTS**

Court orders, bank records relating to state ward trust accounts.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150.3.2.1.38 PUBLIC ASSISTANCE ELIGIBILITY DOCUMENTS/HAE  
DOCUMENTS**

Returned requests from PAE/HEA (Home Energy Assistance systems).

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.1.39 STATE WARD EDUCATION PROGRAM**

Claims, spread sheets, supporting payments made through warrant writer system.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.1.40 OUT-OF-STATE TRAVEL AUTHORIZATION FORMS (FA-800)**

Forms for out-of-state travel.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-1-41 DIRECT BILLING AUTHORIZATION FORMS (FA-21)**

Forms for direct bill of lodging expenses.

**ORIGINAL RECORD: Dispose of after 5 years.**

## **150-3-2-5            AUDIT**

### **150-3-2-5-1            AUDIT FILES**

Financial auditing of long term care facilities.

**ORIGINAL RECORD: Dispose of 5 years after Receipt from Provider.**

### **150-3-2-5-2            COST REPORTS**

Cost reports of long term care facilities. May include calculations of rates, adjustments, settlements, miscellaneous correspondence, etc.

**ORIGINAL RECORD: Dispose of after 30 years.**

### **150-3-2-5-3            LAW SUITS – COST REPORTS (NURSING HOMES, ETC)**

Rate information, financial reports of revenue and expenditures of these facilities.

**ORIGINAL RECORD: Dispose of 5 years after Receipt from Provider.**

### **150-3-2-5-4            COST REPORTS – (HOSPITALS, NURSING HOMES, ETC)**

Financial reports of revenue and expenditures of facilities, as required by Medicare and Medicaid.

**ORIGINAL RECORD: Dispose of 5 years after Receipt from Provider.**

## **150-3-2-8            BUDGET (OPERATIONS & AID)            (OBSOLETE 2004)**

### **150-3-2-8-1            HEALTH BUDGET STATUS REPORT   (OBSOLETE 2004)**

Monthly report which provides an analysis by detail account of current month and year-to-date expenditures, revenue, and available budget for the current state fiscal year.

**Immediately dispose of obsolete record, provided audit has been completed.<sup>1</sup>**

### **150-3-2-8-2            HEALTH GRANT BUDGET STATUS REPORT   (OBSOLETE 2004)**

Monthly report which provides an analysis by detail account of current month and grant-to-date expenditures and available budget for the grant period.

**Immediately dispose of obsolete record, provided audit has been completed.<sup>1</sup>**

## **150-3-2-7            COST ACCOUNTING**

### **150-3-2-7-1            INDIRECT COST RATE PROPOSALS**

Annually, information is compiled regarding the administrative costs of government programs. Includes "Certification by a State Department or State Agency Official Indirect Cost Proposal", financial report of funds, work-papers, "Indirect Cost negotiation Agreement" (NA-1's), and correspondence.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

### **150-3-2-7-2            PUBLIC ASSISTANCE COST ALLOCATION PLAN**

The Public Assistance Cost Allocation Plan is a document that changes by amendments as operations of the System Departments change. It is required to define the methods used to identify the administrative costs associated with various funding sources and programs.

**ORIGINAL RECORD: Retain permanently.**

**ALL OTHER COPIES: Deleted segments dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-7-3 COST ALLOCATION QUARTERLY REPORTS**

The cost allocation reports include the various summaries and supporting documents.

**Immediately dispose of obsolete record, provided audit has been completed.<sup>1</sup>**

**150.3.2.7.4 FACILITY COST ACCOUNTING EXTRACT FROM NAS CONTROL TOTALS (OBSOLETE 2005)**

Monthly computer report shows all expenditures by division (except payroll) which are extracted from NAS tapes.

**Immediately dispose of obsolete record.**

**150.3.2.7.5 FACILITY COST ACCOUNTING EXTRACT FROM PAYROLL CONTROL TOTALS (OBSOLETE 2005)**

Monthly computer report lists the dollar amount of payroll expenditures by division extracted from NEIS payroll tapes.

**Immediately dispose of obsolete record.**

**150-3-2-7-6 ERROR CORRECTION FORM (OBSOLETE 2005)**

Computer input form used to enter information into the computer which was inadvertently edited out of the change register.

**FACILITY: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**CENTRAL OFFICE: Dispose of after 2 years, provided Medicaid/Medicare cost report has been completed.<sup>1</sup>**

**150-3-2-7-7 EXPENSE TRANSACTION REPORT (OBSOLETE 2005)**

Monthly computer report provides a detailed list of expenditures by vendor for each service area.

**FACILITY: Dispose of after 2 years, provided audits by the State, BC/BS, Medicare, and Medicaid has been completed.<sup>1</sup>**

**CENTRAL OFFICE: Dispose of monthly reports after 2 years. Dispose of 12th accounting period report of the fiscal year after 5 years, provided audits by the State; BC/BS, Medicare and Medicaid have been completed.<sup>1</sup>**

**150-3-2-7-8 GROUP BENEFIT REPORTING**

Monthly computer report lists a summary per diem rate for the type of care involved (adult psychological care, developmentally disabled program, etc.)

**FACILITY: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**CENTRAL OFFICE: Dispose of monthly reports after 2 years. Dispose of 12th accounting period report of the fiscal year after 5 years.**

**150-3-2-7-9 SUMMARY OF POSITIONS: BUDGETED AND USED**

Report of YTD totals, by position, of regular hours, overtime hours, total hours, and dollars paid. Report is broken down by section, program, and sub-program.

**MONTHLY REPORT: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**YEAR-END REPORT: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

150.3.2.7.10 **HHS HOSPITAL COST REPORTS**

**(CMS 2552-96 & CMS 287-92 & CMS 339)**

Annual Cost Reports filed with Medicare and Medicaid intermediaries for purpose of Hospital (Hastings Regional Center, Norfolk Regional Center, Lincoln Regional Center, and Beatrice Development Services Center) Nursing facility (Beatrice Developmental Center or other family services. Reports include the Central Office allocation report and the Questionnaires that are submitted with each report as well as the supporting documents and resulting settlement documents.

**ORIGINAL RECORD: Dispose of 5 years, provided audit has been completed.**<sup>1</sup>

**150-3-2-7-11 INTERIM ASSISTANCE REIMBURSEMENT (IAR)**

Reports, documentation and correspondence related to Social Security Administration retroactive payments to Health and Human Services System (HHSS) clients that are subject to recovery by HHSS. Recoveries are to reimburse certain services paid by HHSS programs and county general assistance programs. Amounts in excess of the recovery items are paid to the client.

**ORIGINAL RECORD: Dispose of 3 years after the end of the relative Federal Fiscal Year.**<sup>1</sup>

**150-3-2-9 ELECTRONIC BENEFITS (EBT)**

**150-3-2-9-1 ADJUSTMENT AUDIT/AUDIT TRAIL REPORT**

A report detailing debit and credit adjustments made to EBT (Electronic Benefit Transfer) accounts throughout the month, sorted by group user ID.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.2 **BENEFIT DRAWDOWN TOTALS REPORT (DAILY)**

Statewide summary for all daily EBT benefits for food stamps.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.3 **BENEFIT DRAWDOWN TOTAL REPORT (MONTHLY)**

Statewide summary for all monthly EBT benefits for food stamps.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.4 **BILLING REPORT (MONTHLY)**

EBT contractor monthly billing.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year in which the contract terminates or following completion of audit if more than 3 years after completion of the Federal Fiscal Years in which the contract terminates.**<sup>1</sup>

**ELECTRONIC DATA: Backup daily or monthly; dispose of after superseded.**

**SECURITY BACKUP COPY: Dispose of after superseded.**

150.3.2.9.5 **FCS ADJUSTMENTS REPORT**

Debit and credit adjustments by FCS (Food and Consumer Services) number.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>



150.3.2.9.6                    **STARS TOTALS REPORT**

FCS reporting; food stamps only.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.7                    **STATE ISSUER TOTALS REPORT (DAILY)**

Statewide summary of all daily EBT accounts for food stamps.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.8                    **STATE ISSUER TOTAL REPORT (MONTHLY)**

Statewide summary of all monthly EBT accounts for food stamps.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.9                    **ATM/POS OUT OF STATE USAGE REPORT**

List all ATM/POS (Point of Sale) terminal transactions performed out of state.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.10                    **EXCEEDED PIN ATTEMPTS REPORT**

Listing of all cards with exceeded PIN (Personal Identification Number) attempts (reported on the 4<sup>th</sup> and subsequent and successful PIN attempts). These attempts exceeded the number of consecutive unsuccessful (irrespective of time or transaction) PIN attempts causing the PINs to be locked until the next calendar day. Sorted by county.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.11                    **EVEN DOLLAR TRANSACTIONS REPORT (MONTHLY)**

Listing of even dollar transactions made during the month (food stamps only).

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.12                    **LOST/DAMAGE/STOLEN CARD REPORT**

Monthly report of EBT cards that have been reported as lost, damaged, stolen, and other.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.13                    **TRANSACTIONS ATTEMPTED ON INVALID CARDS REPORT**

Monthly report of POS or ATM transactions attempted on cards with Lost, Damaged or Stolen status, expired cards, non-sufficient funds, etc.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.14                    **ADMINISTRATIVE TRANSACTIONS REPORT (DAILY)**

Summary and detail of administrative transactions by user ID. This report only contains transactions that have a direct financial impact on a recipient's balance and performed on an administrative terminal screen.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years completion of the Federal Fiscal Year.** <sup>1</sup>

150.3.2.9.15      **CARD ISSUANCE REPLACEMENT/STATISTICS REPORT**

Card issuance/replacements by county.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.16      **INACTIVE, DORMANT, EXPUNGED REPORT**

Monthly report listing accounts that have become inactive, dormant or expunged.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.17      **FOOD STAMP ACTIVITY REPORT**

Monthly report listing the number and dollar amount of food stamp purchases and reversals in total. The report is merchant-oriented and sorted by FNS number.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.18      **MANUAL AUTHORIZATIONS REPORT**

Daily report of manual authorization transactions that are still active not yet released or expired. Benefits put on hold, deducted from recipient's available balance, pending voucher clear transaction.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.19      **MANUAL TRANSACTIONS USAGE REPORT**

Monthly report of manual benefit transaction activity by merchant.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.20      **TRANSACTION PROFILE REPORT**

Monthly report of the number, dollar amount and averaged dollar amount of POS (Point of Sale) transactions for food stamps.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.**<sup>1</sup>

150.3.2.9.21      **AVAILABILITY REPORT**

Monthly report providing information as to availability of the EBT host.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.**<sup>1</sup>

150.3.2.9.22      **AVERAGE DAILY RESPONSE TIME REPORT**

Monthly report listing the response times for all updates and inquiries.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.**<sup>1</sup>

150.3.2.9.23      **DEVICE TYPE USAGE REPORT**

Report of system use for the deployed POS (Point of Sale) by time of day, day of month, and day of week.

**ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.**<sup>1</sup>

**150.3.2.9.24 STATE INITIATED CHANGE REQUEST REPORT**

Quarterly report containing a description of any EBT system change requests made by other States and changes made during the previous quarter.

**ORIGINAL RECORD:** Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.<sup>1</sup>

**150.3.2.9.25 CALL VOLUME REPORT**

A monthly report of the number of calls made to the JP Morgan EBT customer service center including data on the number of calls resolved by the Interactive Voice Response (IVR) system, customer service representatives, or lost in transaction. Data is provided for each day of the month.

**ORIGINAL RECORD:** Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.<sup>1</sup>

**ELECTRONIC DATA:** Backup daily or monthly; dispose of after superseded.

**SECURITY BACKUP COPY:** Dispose of after superseded.

**150.3.2.9.26 IVR VOLUME REPORT**

A monthly report of the number and type of calls made to the JP Morgan EBT Interactive Voice Response (IVR) system. Data is provided for each day of the month.

**ORIGINAL RECORD:** Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.<sup>1</sup>

**ELECTRONIC DATA:** Backup daily or monthly; dispose of after superseded.

**SECURITY BACKUP COPY:** Dispose of after superseded.

**150.3.2.9.27 CALL TYPE REPORT**

A monthly breakdown of the primary reason a caller makes contact with the JP Morgan EBT toll-free customer and merchant service centers.

**ORIGINAL RECORD:** Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.<sup>1</sup>

**ELECTRONIC DATA:** Backup daily or monthly; dispose of after superseded.

**SECURITY BACKUP COPY:** Dispose of after superseded.

**150.3.2.9.28 EXCESSIVE CALLS LISTING REPORT**

Monthly listing of the top fifty EBT card numbers for which telephone calls have been made to the EBT customer service telephone number the prior month.

**ORIGINAL RECORD:** Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.<sup>1</sup>

**150-3-2-10 FINANCIAL AND PROGRAM ANALYSIS UNIT**

**150-3-2-10-1 ANNUAL REPORT**

Retain permanently.

**150.3.2.10.2 SPECIAL RESEARCH PROJECTS**

May include questionnaires, special computer records, worksheets, sample forms, and various other materials used to compile a report.

**ORIGINAL RECORD:** Retain permanently.

**ALL OTHER COPIES: Dispose of other materials when no longer of reference value.**

**150-3-2-10-3      FEDERAL STATISTICAL REPORTS**

Reports are submitted as required by the federal government for statistical reporting on the various programs administered by HHSS.

**Dispose of after 5 years.**

**150-3-2-10-4      MEDICAID CLAIM DOCUMENTATION**

Information which documents claiming of federal Medicaid funds for expenditures originally paid with state dollars, but appropriate to claim under Medicaid. May include case management claim forms, lists of state disability expenditures, and others.

**Dispose of after 5 years.**

**150-3-2-4      FINANCIAL RESPONSIBILITY**

**150-3-2-4-1      CLOSED CLIENT FILES**

Correspondence and financial forms regarding individual client's charges and payment of services. Includes financial questionnaire, Social Security verification, VA verification, state and federal tax return and conversion form, ability to pay determination form.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-2      INCOME JOURNAL**

Monthly listing of patients who are receiving services. Report gives a description of the service, number of unit and a dollar amount.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-3      MONTHLY REVENUE AND CENSUS REPORTS**

Excel spreadsheets with monthly revenue broken down by source, patient days by level of care and cost by fiscal year. Computer reports of monthly census by fiscal year.

**ORIGINAL RECORD: Dispose of after 10 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-4      COUNTY BILLING**

Monthly statement to each county for amount owed to each facility for patients having legal residence in their county or for whom they are legally responsible because of the type of admission.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-5      DAILY & MONTHLY A/R REPORTS**

Daily reports of payments and adjustments posted to DD (Developmental Disabilities) accounts in N-Focus. Monthly report of charges posted to DD in AIMS Billing System.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-6      MAINTENANCE RECEIPTS**

Receipts for payment received from private, Medicare, Medicaid, insurance, or county providers.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.4.7      TRUST FUND CHECKS (REGIONAL CENTER, BSDC, STATE WARD GUARDIANSHIP AND EXCESS CHILD SUPPORT)**

Cancelled checks from member's trust fund.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-8 NIS DEPOSIT DOCUMENTS**

Paper copy of NIS Deposit Document for payments deposited with the State Treasurer by FR/Central Office for Regional Centers, BSDC, Veterans' Homes and DD.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-4-9 MEDICARE AND INSURANCE CLAIMS AND MSR'S FOR VETS HOMES**

Paper copy of paid Medicare and insurance claims for Veterans' Homes. Medical Service Record (MSR) for individual member that supports claims information.

**ORIGINAL RECORD: Dispose of after 7 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.4.10 MONTHLY BALANCING DOCUMENTATION**

Monthly reports used for balancing receipts processed by FR/Central Office for Regional Centers, BSDC, Veterans' Homes and Developmental Disabilities.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.4.11 MEMBERS TRUST FUND REPORT  
(REGIONAL CENTER, BSDC, STATE WARDS)**

Monthly reconciliation of member trust fund bank account, investments, and outstanding warrants.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.4.12 STATE WARD GUARDIANSHIP AND EXCESS CHILD SUPPORT  
FINANCIAL REPORTS**

Monthly balancing closed accounts and excess paid on behalf of State Wards.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-2 GRANTS MANAGEMENT UNIT**

**150-3-2-2-1 RECORDS OF SITE VISITS TO LOCAL PROGRAMS  
(OBSOLETE 2005)**

Financial reviews or records of program visits to local programs: findings, plans of corrections, related correspondence.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150.3.2.2.2 COPIES OF ANNUAL AUDITS OF VENDORS AND  
PROVIDERS  
(OBSOLETE 2006)**

Annual CPA audits of local vendors and providers funded by the HHS System. Does not include Medicaid funded programs.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150.3.2.2.3 COPIES OF BILLINGS AND RELATED CORRESPONDENCE AND  
DOCUMENTS (OBSOLETE 2005)**

Billings for services provided to obtain payment under the grants or contracts listed above in 150-3-2-2-1.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150.3.2.2.4 COPIES OF FINANCIAL STATUS REPORTS (OR RELATED  
REPORTS) FILED WITH FEDERAL GOVERNMENT**

Financial reports filed periodically (usually annual) to report on expenditure of federal grants awarded to HHSS.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-2-5 SPECIAL REPORTS OR PROJECTS**

Special reports, studies, projects, financial projections prepared by the Grants Management Unit, not included in 1 through 4 above.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-2-6 GRANT FILES**

This is the Financial Services Division's record of grants received from Federal, State, and other agencies. The files will identify the funding source, budget period, and amount of funds available. Minimum file contents will be "Notice of Grant Award" and "Financial Status Report". Grant awards are issued as needed and Financial Status Reports are issued as required by the granting agency, usually annually. Other file contents could include the grant application and correspondence related to the grant.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.2.7 SUB-RECIPIENT MONITORING REPORT (OBSOLETE 2005)**

Site visit review of Health Department's sub-grantees. Monitoring report includes results of review, comments, recommendations, etc.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-2-8 FINANCIAL STATUS REPORT (FORM 269) (OBSOLETE 2006)**

Gives status of federal funds on a quarterly basis.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-2-9 GRANT AWARDS (OBSOLETE 2006)**

Notice of amount of federal funds awarded to the Department for the period (quarter or year).

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-2-10 QUARTERLY ESTIMATE OF EXPENDITURES**

Report gives estimate of expenditures for quarter broken down by programs and state and federal shares.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-2-11 QUARTERLY GRANT REQUEST**

Quarterly grant request for federal funds. Request is made for funds for the next quarter based on previous quarter expenditures.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-2-12 QUARTERLY STATEMENT OF EXPENDITURES**

Quarterly statement of expenditures for specific programs.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.2.13 QUARTERLY STATEMENT OF EXPENDITURES FOR STATES USING SINGLE LETTER OF CREDIT**

Report gives status of unexpended award authority plus expenditures reported for the period by program.

**ORIGINAL RECORD: Dispose of when superseded or obsolete.**

**150-3-2-3 MEDICAID FINANCIAL**

**150-3-2-3-1 COST REPORTS – HOSPITALS, NURSING HOMES, ETC.**

Financial reports of revenue and expenditures of facilities, as required by Medicare and Medicaid.

**ORIGINAL RECORD: Retain permanently.**

**150-3-2-3-2 MEDICAL CLAIM ADJUSTMENT (FORM MC-11B)**

If vendor gets paid for a claim which is not allowable, the vendor is notified and this form is completed to adjust MMIS.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-3-3 MEDICAL COLLECTION (FORM FA-175 CSM)**

Form used to transmit court ordered collection of medical benefits paid.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-3-4 REPORT/REIMBURSEMENT OF PSYCH CARE (FORM FA-20)**

Community health center cost reports.

**ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**150-3-2-3-5 DRUG REBATE**

To settle disputes.

**ORIGINAL RECORD: Dispose of after 6 years.**

**150-3-2-3-6 CHILD SUPPORT – MEDICAL**

Medical collections prior to 7-1-99.

**ORIGINAL RECORD: Dispose of after 10 years.**

**150.3.2.3.7 CHILDRENS INTERVENTION SERVICES REPORTS**

A program began in 1994 for Regions 1-29.

**ORIGINAL RECORD: Dispose of after 4 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.3.8 CHILD SUPPORT INCENTIVE PAYMENTS**

Payments to county attorneys and receipt transactions for medical child support.

**ORIGINAL RECORD: Dispose of after 5 years.**

**150-3-2-6 SUPPORT CLAIMS PROCESSING**

**150.3.2.6.1 N-FOCUS HHS BILLING DOCUMENT (FORM: HSS-5N)**

Claim forms used by providers for services to HHSS clients to facilitate payment through the N-Focus claims processing system.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.6.2 NEBRASKA LOW INCOME ENERGY ASSISTANCE PROGRAM (LIEAP) (REFUNDS/CANCELATIONS) (FORM: IM-12)**

Form produced for refunds/cancellations of payment made through the Energy System (LIEAP)

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150.3.2.6.3 SERVICE VENDOR PROGRAM (SVP) AND N-FOCUS (NFO), MEDICAID CLAIMS PROCESSING (MCP), MEDICAID MANAGEMENT INFORMATION SYSTEMS (MMIS), ANNUAL W-2 WAGE AND TAX INFORMATION AND 1099 MISCELLANEOUS FORM REPORTS**

Annual reports submitted to the Internal Revenue Service (IRS) and Social Security Administration (SSA) representing summary information for payments made to provider for client services through the SVP/INFO and MCP/MMIS systems.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

#### **150.3.2.6.4 W-2 WAGE AND TAX STATEMENTS AND 1099 MISCELLANEOUS INCOME STATEMENTS**

Tax forms issued through the N-Focus annually to providers for services to HHSS clients. Tax forms issued through the Medicaid Claims Processing (MCP) – Medicaid Management Information System (MMIS) to providers for services to HHSS clients.

**ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.<sup>1</sup>**

### **OBSOLETE RECORDS**

#### **40-1-1-1-3 CONSOLIDATED STANDARDS IN THE AID TO DEPENDENT CHILDREN PROGRAM TECHNICAL REPORT AND FINANCIAL REPORT**

Report was result of completion of survey of ADC cases and setting of standards based on results drawn from country workers' time spent per case and the type of activity.

**Immediately dispose of obsolete records.**

#### **40-1-1-1-4 MONTHLY REPORT**

DSS monthly statistical report.

**Immediately dispose of obsolete records.**

#### **40-1-1-1-6-1 ANNUAL STATISTICAL REPORT ON CHILDREN AGED 5-17 IN FOSTER FAMILY HOMES, AND AID TO FAMILIES WITH DEPENDENT CHILDREN RECIPIENTS AGED 5-17 NEED TO IMPLEMENT THE ELEMENTARY AND SECONDARY EDUCATION ACT**

Annual report gives the number of recipient children 5-17 years, with ADC payments.

**Dispose of after 5 years.**

#### **40-1-1-1-6-2 “FLASH” REPORTING OF SELECTED PROGRAM DATA**

Monthly federal report gives status of recipient children 5-17 years, and types of service plus the dollar amount paid out for the recipient by types of service received.

**Dispose of after 5 years.**

#### **40-1-1-1-6-3 MEDICAL CARE: RECIPIENTS, PAYMENTS, AND SERVICES**

Annual federal report gives status of recipients, eligibility, and types of service plus the dollar amount paid out for the recipient by types of service received.

**Dispose of after 5 years.**

#### **40-1-1-1-6-4 WIN MONTHLY REPORT ON PROGRAM ACTIVITY**

Monthly data from each WIN project is summarized on this federal report.

**Dispose of after 5 years.**

#### **40-1-1-1-8 MEDICAID WORKSHEETS**

Statistics regarding Medicaid program and services.

**Immediately dispose of obsolete records.**

#### **40-1-1-1-9 MONTHLY/QUARTERLY/ANNUAL REPORT FILES**



Statistics pertaining to the various reports.  
**Immediately dispose of obsolete records.**

40.1.1.2.1      **AUTHORIZATION FOR DISBURSEMENT OF CHILD SUPPORT  
COLLECTIONS AND FILE ADJUSTMENTS (FORM CSE-112)**

Form used for data entry in the CSE system to create a payment and/or adjust a record.  
**Dispose of 13 years after the case is closed.**

**40-1-1-2-5      CSE MISCELLANEOUS RECORDS**

Records relating to child support collections and distribution by case.  
**Dispose of after 10 years, provided audit has been completed.<sup>1</sup>**

**40-1-1-2-6      EMPLOYER APPOINTMENT OF AGENT (Form 2678)**

Form required by Internal Revenue Service showing appointment of DSS as agency for Title XX clients who use taxable services provided by others.  
**Immediately dispose of obsolete record.**

**40-1-1-2-7      FILE CARD LOST/FORGED WARRANT (Form FA-9)**

Records activity by case number regarding the report of lost or forged state warrants.  
**Dispose of after 2 years.**

**40-1-1-2-15      QUARTERLY ESTIMATE OF EXPENDITURES**

Report gives estimate of expenditures for quarter broken down by programs and state and federal shares.  
**Immediately dispose of obsolete records.**

**40-1-1-2-16      QUARTERLY GRANT REQUEST**

Quarterly grant request for federal funds. Request is made for funds for the next quarter based on previous quarter expenditures.  
**Immediately dispose of obsolete records.**

**40-1-1-2-17      QUARTERLY STATEMENT OF EXPENDITURES**

Quarterly statement of expenditures for specific programs.  
**Immediately dispose of obsolete records.**

**40-1-1-2-18      QUARTERLY STATEMENT OF EXPENDITURES FOR STATES USING  
SINGLE LETTER OF CREDIT**

Report gives status of unexpected award authority plus expenditures reported for the period by program.  
**Immediately dispose of obsolete records.**

**40-1-1-2-21      STATE WARD MANUAL PAYMENT NOTICE (Form IM-21FC)**

Requests issuance of state warrants for cases not on the system.  
**Immediately dispose of obsolete records.**

40.1.1.2.22      **TIME RECORD IV-D CASES (Form CSE-40)**

Form used to record time spent on IV-D cases.  
**Immediately dispose of obsolete records.**

**40.1.1.2.24 DISBURSEMENT DOCUMENT (Copy)**

Form used to initiate payment to a vendor for goods and services or to refund an earlier collection.  
**Immediately dispose of obsolete records.**

**40.1.1.2.25 EXPENSE REIMBURSEMENT DOCUMENT AND ATTACHMENTS (Copy)**

Form used to reimburse employee, volunteer or contractor for expenses incurred in performance of duties assigned or agreed.  
**Immediately dispose of obsolete records.**

**40.1.1.2.26 GENERAL DOCUMENT (Copy)**

Form used to create or liquidate encumbrances, cancel warrants, record receipts, correct entries and record interfund transactions.  
**Immediately dispose of obsolete records.**

**40.1.1.2.27 INTRASTATE TRANSACTION DOCUMENT (Copy)**

Form used to record revenues and expenditures associated with goods and/or services provided by one state agency to another agency.  
**Immediately dispose of obsolete records.**

**35-1-1 AGREEMENTS, HEALTH CARE SERVICES**

Annual agreements between the department and other agencies to provide health care services. Includes such agencies as the Nebraska Heart Association, Lincoln-Lancaster County Health Department, Children's Memorial Hospital, etc. Documents outline the terms of the agreements.  
**Immediately dispose of obsolete records.**

**35-1-6 MAILING BOOK (PS FORM 3877)**

Log used to document mail this is sent registered, certified, insured, and C.O.D. Information includes name and address of sender, number of articles, names of addressee, addresses, postage fees, and amount due sender.  
**Immediately dispose of obsolete records.**

**35-1-7 SALARY WARRANT CHECKLIST**

Informal checklist of warrants distributed to employees.  
**Immediately dispose of obsolete records.**

**35-1-8 HEALTH BUDGET STATUS REPORT**

Monthly report which provides an analysis by detail account of current month and year-to-date expenditures, revenue, and available budget for the current state fiscal year.  
**Immediately dispose of obsolete records.**

**35-1-9 HEALTH GRANT BUDGET STATUS REPORT**

Monthly report which provides an analysis by detail account of current month and grant-to-date expenditures and available budget for the grant period.  
**Immediately dispose of obsolete records.**

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NOTE

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1. *These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

<b>RECORDS DISPOSITION REPORT</b>	AGENCY
TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 <sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc.

This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE  
TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size.....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size.....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet

